

08/07/01

J1042 U.S. PTO

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UTILITY PATENT APPLICATION TRANSMITTAL

Attorney Docket No. **Harvatek-9030**First Inventor or Application Identifier **Bily WANG**Title **LED Focusing Cup in a Stacked Substrate**

(Only for new nonprovisional applications under 37 C.F.R. § 1.53(b)) Express Mail Label No.

 Jc978 U.S. PTO
 09/922668
 08/07/01

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
 (Submit an original and a duplicate for fee processing)
2. ☒ Specification [Total Pages **6**]
 (preferred arrangement set forth below)
- Descriptive title of the invention
 - Cross References to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to Microfiche Appendix
 - Background of the invention
 - Brief Summary of the invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
3. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets **13**]
4. Oath or Declaration [Total Pages **2**]
- a. ☒ Newly executed (original or copy)
- b. ☐ Copy from a prior application (37 C.F.R. § 1.63(d))
 (for continuation/divisional with Box 16 completed)
1. ☐ DELETION OF INVENTOR(S)
 Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).

NOTE FOR ITEMS 1 & 17: IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27), EXCEPT IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.28).

ADDRESS TO:

 Assistant Commissioner for Patents
 Box Patent Application
 Washington, DC 20231

ACCOMPANYING APPLICATION PARTS

7. ☒ Assignment Papers (cover sheet & document(s))
8. ☒ 37 C.F.R. § 3.73(b) Statement ☒ Power of Attorney
 (when there is an assignee)
9. ☐ English Translation Document (if applicable)
10. ☐ Information Disclosure ☐ Copies of IDS
☐ Statement (IDS)/PTO-1449 ☐ Citations
11. ☐ Preliminary Amendment
12. ☒ Return Receipt Postcard (MPEP 503)
 (Should be specifically itemized)
13. ☒ Small Entity ☐ Statement filed in prior application,
 Statement(s) ☐ Status still proper and desired
 (PTO/SB/09-12)
14. ☐ Certified Copy of Priority Document(s)
 (if foreign priority is claimed)
15. ☐ Other: _____

16. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:

Continuation ☐ Divisional ☐ Continuation-in-part (CIP) ☐

of prior application No: _____

Prior application information: Examiner _____

Group / Art Unit: _____

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

17. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Labelor ☒ Correspondence address below

(Insert Customer No. or Attach bar code label here)

Name

Hung Chang LIN

Address

8 Schindler CourtCity **Silver Spring**State **Maryland**Zip Code **20903**Country **U.S.A.**Telephone **301-434-3571**Fax **301-434-6581**Name (Print/Type) **Hung Chang LIN**Registration No. (Attorney/Agent) **28,789**

Signature

Hung Chang LinDate **Aug. 2, 2001**

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

0002/PTO Rev. 10/95		U.S. Department of Commerce Patent and Trademark Office		Complete If Known	
FEE TRANSMITTAL				Application Number	
				Filing Date	
				First Named Inventor Bily WANG	
				Group Art Unit	
				Examiner Name	
TOTAL AMOUNT OF PAYMENT (\$)				395.00	
				Attorney Docket Number Harvatek 9030	

METHOD OF PAYMENT (check one)		FEE CALCULATION (continued)																																																																																																																	
1. <input type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any over payments to: Deposit Account Number _____ Deposit Account Name _____ <input type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.114 and 1.117 <input type="checkbox"/> Charge the Issue Fee Set in 37 CFR 1.118 at the Meeting of the Notice of Allowance, 37 CFR 1.211(b)		3. ADDITIONAL FEES <table border="1"> <thead> <tr> <th>Large Entry Fee Code (\$)</th> <th>Small Entry Fee Code (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr> <td>105</td> <td>130</td> <td>205 55 Surcharge - late filing fee or oath</td> <td></td> </tr> <tr> <td>127</td> <td>50</td> <td>227 25 Surcharge - late provisional filing fee or cover sheet</td> <td></td> </tr> <tr> <td>139</td> <td>130</td> <td>139 130 Non-English specification</td> <td></td> </tr> <tr> <td>147</td> <td>2,390</td> <td>147 2,390 For filing a request for reexamination</td> <td></td> </tr> <tr> <td>112</td> <td>570*</td> <td>112 570* Requesting publication of SIR prior to Examiner action</td> <td></td> </tr> <tr> <td>113</td> <td>1,740*</td> <td>113 1,740* Requesting publication of SIR after Examiner action</td> <td></td> </tr> <tr> <td>115</td> <td>110</td> <td>215 55 Extension for response within first month</td> <td></td> </tr> <tr> <td>116</td> <td>380</td> <td>218 190 Extension for response within second month</td> <td></td> </tr> <tr> <td>117</td> <td>900</td> <td>217 450 Extension for response within third month</td> <td></td> </tr> <tr> <td>118</td> <td>1,400</td> <td>218 700 Extension for response within fourth month</td> <td></td> </tr> <tr> <td>119</td> <td>290</td> <td>219 145 Notice of Appeal</td> <td></td> </tr> <tr> <td>120</td> <td>290</td> <td>220 145 Filing a brief in support of an appeal</td> <td></td> </tr> <tr> <td>121</td> <td>250</td> <td>221 125 Request for oral hearing</td> <td></td> </tr> <tr> <td>138</td> <td>1,430</td> <td>138 1,430 Petition to institute a public use proceeding</td> <td></td> </tr> <tr> <td>140</td> <td>110</td> <td>240 55 Petition to revive unrevivably abandoned application</td> <td></td> </tr> <tr> <td>141</td> <td>1,250</td> <td>241 625 Petition to revive unintentionally abandoned application</td> <td></td> </tr> <tr> <td>142</td> <td>1,250</td> <td>242 625 Utility issue fee (or reissue)</td> <td></td> </tr> <tr> <td>143</td> <td>430</td> <td>243 215 Design issue fee</td> <td></td> </tr> <tr> <td>144</td> <td>630</td> <td>244 315 Plant issue fee</td> <td></td> </tr> <tr> <td>122</td> <td>130</td> <td>122 130 Petitions to the Commissioner</td> <td></td> </tr> <tr> <td>123</td> <td>50</td> <td>123 50 Petitions related to provisional applications</td> <td></td> </tr> <tr> <td>126</td> <td>220</td> <td>126 220 Submission of Information Disclosure Stmt.</td> <td></td> </tr> <tr> <td>581</td> <td>40</td> <td>581 40 Recording each patent assignment per property (times number of properties)</td> <td>40</td> </tr> <tr> <td>146</td> <td>750</td> <td>246 375 Filing a submission after final rejection (37 CFR 1.129(a))</td> <td></td> </tr> <tr> <td>149</td> <td>750</td> <td>249 375 For each additional invention to be examined (37 CFR 1.129(b))</td> <td></td> </tr> <tr> <td colspan="2">Other fee (specify): _____</td> <td colspan="2">Other fee (specify): _____</td> </tr> <tr> <td colspan="2">SUBTOTAL (1) (\$)</td> <td colspan="2">SUBTOTAL (3) (\$40)</td> </tr> </tbody></table>		Large Entry Fee Code (\$)	Small Entry Fee Code (\$)	Fee Description	Fee Paid	105	130	205 55 Surcharge - late filing fee or oath		127	50	227 25 Surcharge - late provisional filing fee or cover sheet		139	130	139 130 Non-English specification		147	2,390	147 2,390 For filing a request for reexamination		112	570*	112 570* Requesting publication of SIR prior to Examiner action		113	1,740*	113 1,740* Requesting publication of SIR after Examiner action		115	110	215 55 Extension for response within first month		116	380	218 190 Extension for response within second month		117	900	217 450 Extension for response within third month		118	1,400	218 700 Extension for response within fourth month		119	290	219 145 Notice of Appeal		120	290	220 145 Filing a brief in support of an appeal		121	250	221 125 Request for oral hearing		138	1,430	138 1,430 Petition to institute a public use proceeding		140	110	240 55 Petition to revive unrevivably abandoned application		141	1,250	241 625 Petition to revive unintentionally abandoned application		142	1,250	242 625 Utility issue fee (or reissue)		143	430	243 215 Design issue fee		144	630	244 315 Plant issue fee		122	130	122 130 Petitions to the Commissioner		123	50	123 50 Petitions related to provisional applications		126	220	126 220 Submission of Information Disclosure Stmt.		581	40	581 40 Recording each patent assignment per property (times number of properties)	40	146	750	246 375 Filing a submission after final rejection (37 CFR 1.129(a))		149	750	249 375 For each additional invention to be examined (37 CFR 1.129(b))		Other fee (specify): _____		Other fee (specify): _____		SUBTOTAL (1) (\$)		SUBTOTAL (3) (\$40)	
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SUBMITTED BY		Complete If applicable	
Typed or Printed Name	Hung Chang LIN	Reg. Number	28,789
Signature	<i>Hung Chang Lin</i>	Date	8/2/01
		Deposit Account User ID	

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